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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/415,815	10/12/1999	KLAUS-PETER LINDNER	9090-0149	5340

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ALEXANDRIA, VA 22314

EXAMINER
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GARCIA OTERO, EDUARDO

ART UNIT	PAPER NUMBER
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2123

DATE MAILED: 12/21/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/415,815

Applicant(s)

LINDNER ET AL.

Examiner

Eduardo Garcia-Otero

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 02 November 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 39,41 and 43-50 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 39,41 and 43-50 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 12 October 1999 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
- ☒ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

**DETAILED ACTION: Final Rejection on a First Action**

***Introduction***

1. Title is: APPARATUS FOR USE IN AN INDUSTRIAL PROCESS AND PLANT INCLUDING SUCH APPARATUSES AS WELL AS METHOD FOR SIMULATING OPERATION OF SUCH A PLANT
2. First joint inventor is: LINDNER
3. Applicant's Request for Continued Examination (RCE) and Remarks were received 11/2/04. No claims were amended.
4. Pending claims are 39, 41, and 43-50.
5. Acknowledgment is made of applicant's claim for foreign priority under 35 U.S.C. 119(a)-(d) to 10/29/98.
6. This is a Final Rejection on First Action.

***Index of Important Prior Art***

7. McClanahan refers to McClanahan et al., US Patent 4,613,952
8. Banks refers to Handbook of Simulation: Principles, Methodology, Advances, Applications, and Practice, by Jerry Banks (Editor), John Wiley & Sons, Inc., ISBN: 0-471-13403-1, August 1998.
9. Tucker refers to The Computer Science and Engineering Handbook, by Allen B. Tucker, Jr. (Editor-in-chief), CRC Press, ISBN: 0-8493-2909-4, 1996.
10. Tabak refers to Advanced Microprocessors, by Daniel Tabak, McGraw-Hill, Inc., ISBN 0-07-062843-2, 1995.
11. Head refers to Claude D. Head, III, US Patent 6,076,652.
12. Webster refers to Webster's Third New International Dictionary, Merriam-Webster Inc, copyright 1993.
13. Microsoft Computer Dictionary refers to Microsoft Computer Dictionary, Fourth Edition, by Microsoft Press, JoAnne Woodcock as Senior Contributor, ISBN 0-7356-0615-3, May 1999.
14. Perry refers to Perry's Chemical Engineer's Handbook, Seventh Edition, 1997, pages 8-4 to 8-11, and 8-34, and 8-35.

***Definitions***

15. "Data Carrier" is defined as "In communications, a specified frequency that can be modulated to convey information." by Microsoft Dictionary.
16. "Data Carrier" is also defined as "The selected medium used to transport or carry (communicate) data... Punched cards, magnetic tapes, and punched paper tapes are examples..." in the Computer Dictionary, Third Edition, by Charles J. Sipple and Roger J. Sipple on page 128.

***Final Rejection on a First Action***

17. This is a Final Rejection on a First Action following Request for Continued Examination, per MPEP 706.07(b). Note that Applicant has not amended any of the claims, and note that the prior 35 USC 103 rejections are repeated without any modification. MPEP 706.07(b) states:

The claims of a new application may be finally rejected in the first Office action in those situations where (A) the new application is a continuing application of, or a substitute for, an earlier application, and (B) all claims of the new application (1) are drawn to the same invention claimed in the earlier application, and (2) would have been properly finally rejected on the grounds and art of record in the next Office action if they had been entered in the earlier application.

> A first Office action in a continuing or substitute application may not be made final if it contains a new ground of rejection necessitated by the amendments to 35 U.S.C. 102(e) by the Intellectual Property and High Technology Technical Amendments of 2002 (Pub. L. 107-273, 116 Stat. 1758 (2002)).<

However, it would not be proper to make final a first Office action in a continuing or substitute application where that application contains material which was presented in the earlier application after final rejection or closing of prosecution but was denied entry because (A) new issues were raised that required further consideration and/or search, or (B) the issue of new matter was raised.

Further, it would not be proper to make final a first Office action in a continuation-in-part application where any claim includes subject matter not present in the earlier application. A request for an interview prior to first action on a continuing or substitute application should ordinarily be granted.

***Applicant's Remarks***

18. DATA CARRIER-OBJECTION WITHDRAWN. Remarks page 3. Applicant persuasively asserts that the claim 41 term "data carrier" is simply a memory, and not a carrier wave or similar. Applicant is correct that the term "data carrier" may have several definitions, and the Examiner accepts the Applicant's definition ("medium used to transport of (sic) carry (communicate) data... Punched cards, magnetic tapes, and

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punched paper tapes are examples”) as not repugnant. Thus the prior objection is withdrawn.

19. The Examiner restricts this interpretation to exclude physical phenomenon such as electromagnetic waves and voltages.
20. 35 USC 103 REJECTIONS. Remarks page 4. Applicant asserts that “central control unit” in claim 49 is not disclosed by the prior art. However, Banks Page 398 discloses “C++ is an object-oriented extension to the C programming language”. Also see Page 409 “YANSL” and “GPSS/H” and “SLAM” and “SIMAN” and “INSIGHT”.
21. Thus, these advanced simulation applications (such as GPSS/H) are inherently run on a computer. Said computer is the same as the “central control unit” in claim 49.
22. Additionally, the claim 49 term “central control unit” is also disclosed by Perry page 8-7 “modern plants are controlled by digital computers” and page 8-6 Simulation of Dynamic Models”. Note that digital computers contain microprocessors (or “central control units” in Applicant’s terminology) and buses and memories (or “data carriers” in Applicant’s terminology) and multiple apparatuses. See page 8-34 for typical systems with multiple apparatuses.
23. Thus, Applicant’s assertions are not persuasive, and the 35 USC 103 rejections are repeated below without any amendment.

#### ***Claim Interpretation***

24. In claim 49, the preamble term “**a simulation arrangement**” is interpreted as a machine, per 35 USC 101.

#### ***Claim Rejections - 35 USC § 103***

25. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action: (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.
26. The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows: 1. Determining the scope and contents of the prior art. 2. Ascertaining the differences

between the prior art and the claims at issue. 3. Resolving the level of ordinary skill in the pertinent art. 4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

**27. Claims 39, 41, and 43-50 are rejected under 35 U.S.C. 103(a) as being unpatentable over Banks in view of Perry and MPEP § 2144.04(VI)(C).**

28. In claim 49 limitation [1], and claim 50 limitation [2], and claim 46 limitation [1], the term **“a software apparatus model associated with at least one of the field devices...”** is disclosed by Banks at Page 397 “portable models”, and at Page 6 “A model is a representation of an actual system”, and at Page 7 “A resource is an entity that provides service to dynamic entities”, and at Page 397 “many existing simulation languages using object terminology”, and at Page 398 “Resource objects and their behavior may be defined”. Note that models must be storable in a memory at another location in order to be portable. Additionally, note that it is inherent that a simulation model object (such as a software apparatus model) in an object-oriented simulation will be stored in memory, and that this memory will be accessed during the simulation. Note that Banks at Page 398 states “C++ is an object-oriented extension to the C programming language”. Also see Page 409 “YANSL” and “GPSS/H” and “SLAM” and “SIMAN” and “INSIGHT”.

29. In claim 49 limitation [2], and claim 47 limitation [1], the term **“said software apparatus model is stored in the field device with which said software apparatus model is associated”** is disclosed by MPEP § 2144.04(VI)(C) Legal Precedent. *In re Kuhle*, 526 F.2d 553, 188 USPQ 7 (CCPA 1975) states “the particular placement provided no novel or unexpected result”. Here, storing the software model with the associated field device provides no novel or unexpected results. This type of decentralized memory has well known advantages and disadvantages. The well known advantage is that the software is conveniently physically near the hardware, similar to buying a printer which comes with a CD containing the printer drivers. The well known disadvantage is that the version control is difficult. For example, if an error is found in the printer driver software, then another CD must be mailed to all printer owners. Interestingly, the modern trend is to not provide CDs with the hardware, but instead to require the buyer to download the software through the internet.

30. Also see Banks at Page 397 “portable models”. Further note that this decentralized model storage is very similar to the “plug and play” systems whereby peripheral devices identify themselves to a personal computer.
31. In claim 49 limitation [3], and claim 50 limitation [3], and claim 44 limitation [1], the term **“said software apparatus model is loadable from the apparatus into the central control unit via the bus”** is disclosed by Banks at Page 397 “portable models”. Note that models must be storable in a memory at another location in order to be portable. Additionally, note that it is inherent that a simulation model object (such as a software apparatus model) in an object-oriented simulation will be stored in memory, and that this memory will be accessed by a central control unit via a bus during the simulation. Note that Banks at Page 398 states “C++ is an object-oriented extension to the C programming language”.
32. Note that one illustrative example of Banks’ “portable models” would be a floppy disk or Compact Disk (CD) which often is included in the purchase of a printer for a personal computer. Said floppy or CD contains “memorized software... including parameters, functionalities, and programs of the apparatus”. Said floppy or CD would be placed into the proper slot of a personal computer, and downloaded through a bus into the memory of the personal computer. This type of “portable model” (e.g., printer driver on a CD) has certain advantages such as convenience. However, this use of CDs does contain several drawbacks as well: the added expense of the CD itself, the possibility of losing the CD, and the substantial version control difficulties with correcting or upgrading existing CDs.
33. Alternately, central control of software (for example, downloading the printer driver software directly from the printer company website through the internet) offers the advantage of centrally controlling and instantly correcting or upgrading the available software, as well as the reduced cost of not creating and not handling CDs.
34. Note that *In re Preda*, 401 F.2d 825, 159 USPQ 342, 344 (CCPA 1968) states “in considering the disclosure of a reference, it is proper to take into account not only specific teachings of the reference but also the inferences which one skilled in the art would reasonably be expected to draw therefrom.” Thus, one of ordinary skill in the art would interpret Banks as including disclosing porting said “portable models” (Banks

terminology) using standard porting techniques, such as physically carrying a CD, or transferring over a bus. Said printer CD is one well known example. See also MPEP § 2144.04(VI)(C). *In re Kuhle*, 526 F.2d 553, 188 USPQ 7 (CCPA 1975) states “the particular placement provided no novel or unexpected result”.

35. In claim 49 limitation [4], and claim 44 limitation [2], the term **“the central control unit being provided with the parameters, functionalities of the field device with which said software apparatus model is associated, so that the field device with which said software apparatus model is associated can be simulated in the central control unit”** is disclosed by Banks at Page 397 “portable models”. Note that models must be storable in a memory at another location in order to be portable. Additionally, note that it is inherent that a simulation model object (such as a software apparatus model) in an object-oriented simulation will be stored in memory, and that this memory will be accessed by the central control unit via a bus during the simulation. Note that Banks at Page 398 states “C++ is an object-oriented extension to the C programming language”.
36. In claim 39 limitation [1], the term **“the software of said software apparatus model is formulated in a uniform program language with which said functionality and said parameters of field device with which said software apparatus is associated can be explicitly simulated in the central control [unit]”** is disclosed by Banks at Page 398 states “C++ is an object-oriented extension to the C programming language”.
37. In claim 41 limitation [1], the term **“a data carrier”** is disclosed by Perry page 8-7 “modern plants are controlled by digital computers” and page 8-6 Simulation of Dynamic Models”. Note that digital computers contain microprocessors (or “central control units” in Applicant’s terminology) and buses and memories (or “data carriers” in Applicant’s terminology) and multiple apparatuses. See page 8-34 for typical systems with multiple apparatuses.
38. In claim 41 limitation [2], the term **“said software is memorizable on said data carrier and usable by a software program in the central control unit”** is disclosed by Banks at Page 397 “portable models” and at Page 398 states “C++ is an object-oriented extension to the C programming language”.



39. In claim 50 limitation [1], and claim 48 limitation [1], the term **“a central control unit, a bus and a plurality of apparatuses connected to the central control unit via the bus”** is disclosed by Perry page 8-7 “modern plants are controlled by digital computers” and page 8-6 Simulation of Dynamic Models”. Note that digital computers contain microprocessors (or “central control units” in Applicant’s terminology) and buses and memories (or “data carriers” in Applicant’s terminology) and multiple apparatuses. See page 8-34 for typical systems with multiple apparatuses.
40. In claim 43 limitation [1], and claim 45 limitation [1], the term **“software [apparatus models] are modifiable by said central control unit depending on the result of simulation”** is disclosed by Banks at page 33 “Modeling Principle 2 The secret to being a good modeler is the ability to remodel... continually refined, updated, modified, and extended” and “Modeling Principle 3 The modeling process is evolutionary because the act of modeling reveals important information piecemeal”. Also see Perry page 8-6 Simulation of Dynamic Models”.
41. MOTIVATION. At the time of the invention, one of ordinary skill in the art would be motivated to use Perry and MPEP § 2144.04(VI)(C) to modify Banks. One of ordinary skill in the art would begin with Banks as a basis for general simulation modeling principles, and then would be motivated to use Perry for specific techniques used in modern processing plants (such as control “by digital computers” at Perry page 8-7) because Perry is the standard handbook for chemical engineering. Applicant’s claimed invention locates the software models with the related apparatuses (decentralized), and thus differs from the standard centralized location of the software models in a single main memory.
42. In MPEP § 2144.04(VI)(C), *In re Kuhle*, 526 F.2d 553, 188 USPQ 7 (CCPA 1975) states “the particular placement provided no novel or unexpected result”. Thus, the issue is whether the claimed particular (decentralized) location of the software models provides any novel or unexpected result.
43. The battle between centralized versus decentralized software has been waging for decades, and the advantages and disadvantages of each system are well known. As discussed above with respect to printers and their CDs, there are well known advantages

(and some disadvantages) to having software physically located with the hardware (decentralized software). Similarly, there also well known advantages (and some disadvantages) to having the software centralized and thus not physically associated with the hardware (centralized software).

44. In the area of networks, a similar battle (or balancing act) has been raging for decades with respect to whether application software should be centralized in the server, or decentralized in the client computer. Thus, the Examiner concludes that the claimed particular placement provides “no novel or unexpected result” per *In re Kuhle*.

**Response to Request for Continued Examination-FINAL OFFICE ACTION**

45. All claims are drawn to the same invention claimed in the application prior to the entry of the submission under 37 CFR 1.114 and could have been finally rejected on the grounds and art of record in the next Office action if they had been entered in the application prior to entry under 37 CFR 1.114. Accordingly, THIS ACTION IS MADE FINAL even though it is a first action after the filing of a request for continued examination and the submission under 37 CFR 1.114. See MPEP § 706.07(b). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).
46. A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

**Conclusions**

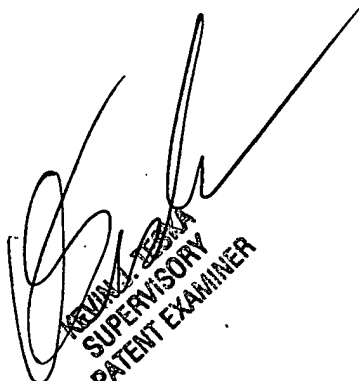
47. All pending claims stand rejected.
48. If Applicant can persuasively assert **novel or unexpected results** from the claimed placement of the software models, then said assertions might overcome the above rejections.

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*Communication*

49. Any inquiry concerning this communication or earlier communications from the Examiner should be directed to Eduardo Garcia-Otero whose telephone number is 703-305-0857. The examiner can normally be reached on Tuesday through Friday from 9:00 AM to 7:00 PM. If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, Kevin Teska, can be reached at (703) 305-9704. The fax phone number for this group is 703-872-9306. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the group receptionist, whose telephone number is (703) 305-3900.

\* \* \* \* \*



KEVIN TESKA  
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